

## Exhibit 300: Capital Asset Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview & Summary Information

**Date Investment First Submitted:** 2009-06-30  
**Date of Last Change to Activities:** 2012-08-31  
**Investment Auto Submission Date:** 2012-02-27  
**Date of Last Investment Detail Update:** 2012-02-27  
**Date of Last Exhibit 300A Update:** 2012-08-31  
**Date of Last Revision:** 2012-08-31

**Agency:** 015 - Department of the Treasury      **Bureau:** 04 - Financial Crimes Enforcement Network

**Investment Part Code:** 01

**Investment Category:** 00 - Agency Investments

**1. Name of this Investment:** BSA IT Modernization

**2. Unique Investment Identifier (Ull):** 015-000000040

#### Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

FinCENs BSA IT Modernization initiative is a Treasury effort to provide a modernized information technology foundation to collect, analyze, and share Bank Secrecy Act (BSA) data. This investment directly supports FinCENs goal of efficient management, safeguarding, and use of BSA information, consistent with its mandate to manage the government-wide IT systems for BSA data. It also supports Treasurys overall strategic goal to prevent terrorism and promote the nations security through strengthened internal financial systems, and efforts of financial regulators to improve the safety and soundness of the financial system. FinCEN is the administrator of the Bank Secrecy Act, which allows stakeholders to combine this financial intelligence information with other information sources to address issues related to effectively managing the governments finances can also be used for issues related to securing economic and financial stability, such as detecting mortgage fraud, or instances of insider abuse or market manipulation. BSA data can also be used for issues related to securing economic and financial stability, such as detecting mortgage fraud, or instances of insider abuse or market manipulation. FinCEN faces the challenge of how to enable easier compliance and streamline BSA information capture for FinCENs financial community stakeholders while maximizing the value and impact of BSA information for its regulator, law enforcement and intelligence community stakeholders. The BSA IT Modernization investment is targeted to address these challenges. This program will establish an enterprise-wide

information management and analysis framework that will equip law enforcement and financial industry regulators with better decision-making abilities and increased value of BSA information through enhanced data integrity and analytical tools. This will allow law enforcement and regulators to focus their limited resources on the areas of shifting illicit criminal activities and vulnerabilities effecting the soundness and stability of the U.S. financial system. This investment will also enable easier compliance and streamline BSA information capture for FinCENs financial community through the enhancement of e-filing and e-forms systems for filers, standardization of financial data with existing financial community standards, and more timely and useful feedback on BSA information filings and the use of BSA information.

**2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.**

The Modernization Program helps to close this gap by: oReengineering and replacing the entire BSA data architecture and have one technical infrastructure - Implementing innovative web-services and enhanced electronic-filing - Incorporating more data validation and standardization and integrating data with other data sources - Deploying more advanced analytical and storage technologies - Establishing more effective security and audit technologies to enhance data confidentiality and integrity. How the investment closes the gap in support of the mission - Creates a central, standardized environment adaptable to business changes and customer needs - Central Registered User Portal (RUP) for access to all BSA data tools and Secure Outreach - Integrates Third Party data - Allows user views of filed and enhanced data - Incorporates additional data validation - Provides an outlet for data collection and dissemination that meets NIEM standards.

**3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.**

During FY2011, FinCEN accomplished the following: - Deployed two releases of functionality for a new Analytical Tool (SAS) to FinCEN analysts (on existing technical environment). - Collaborated with the Bureau of Public Dept to stand up the modernized Production and Disaster Recovery environments. - Completed the initial deployment of the new Registered User Portal and associated Identity/Access Management capabilities to a small user group within FinCEN. - Completed the National Information Exchange Model (NIEM) specifications for dissemination of BSA data. - Built the capability for FinCENs Electronic Filing System (E-Filing) to accept all discrete versions of all BSA reports.

**4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).**

For FY2012, FinCEN plans to accomplish the following: - Complete the conversion of 10+1 years of BSA data from the legacy system to the new system of record. - Deploy two releases of the new FinCEN system of record, shared filing services, and third party data system SOR Release 1. - Release new versions of the Suspicious Activity Report (SAR), Currency Transaction Report (CTR), Registration of Money Services Business (RMSB) report, and Designation of Exempt Person (DOEP) report in FinCENs E-Filing system. - Implement two

releases of the new FinCEN Query system and Query Audit Log system to approximately 10,000 users. - Deploy the Analytical Tool (SAS) on FinCENs new technical infrastructure (Oracle). For FY2013, FinCEN plans to accomplish the following: - Complete the deployment of all new BSA applications in FinCENs SCIF. - Implement FinCENs new Financial Intelligence Repository, enhance FinCENs 314b program, and implement new contact/customer management capabilities.

5. **Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.**

2009-10-14

## Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$1.9			\$0.0
DME (Excluding Planning) Costs:	\$24.7	\$22.3	\$15.0	\$7.4
DME (Including Planning) Govt. FTEs:	\$1.5	\$2.2	\$2.2	\$0.5
Sub-Total DME (Including Govt. FTE):	\$28.1	\$24.5	\$17.2	\$7.9
O & M Costs:	\$3.4	\$6.7	\$14.1	\$14.4
O & M Govt. FTEs:	\$0.0	\$0.0	\$0.0	\$1.2
Sub-Total O & M Costs (Including Govt. FTE):	\$3.4	\$6.7	\$14.1	\$15.6
Total Cost (Including Govt. FTE):	\$31.5	\$31.2	\$31.3	\$23.5
Total Govt. FTE costs:	\$1.5	\$2.2	\$2.2	\$1.7
# of FTE rep by costs:	7	8	8	8
Total change from prior year final President's Budget (\$)		\$0.0	\$0.0	
Total change from prior year final President's Budget (%)		0.00%	0.00%	

2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:

## Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
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NONE

**2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:**

The FAR-required Earned value clauses will be added to the contract prior to the commencement of any contractor DME-supported activities.

## Exhibit 300B: Performance Measurement Report

### Section A: General Information

**Date of Last Change to Activities:** 2012-08-31

### Section B: Project Execution Data

**Table II.B.1 Projects**

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
BSA MOD	Bank Secrecy Act (BSA) IT Modernization	<p>The BSA IT Modernization project will establish an enterprise-wide information management and analysis framework that will equip law enforcement and financial industry regulators with better decision-making abilities and increased value of BSA information through enhanced data integrity and analytical tools.</p> <p>This project will also enable easier compliance and streamline BSA information capture for FinCENs financial community through the enhancement of e-filing and e-forms systems for filers, standardization of financial data with existing financial community standards, and more timely and useful feedback on BSA information filings and the use of BSA information.</p>			

### Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities

BSA MOD

Bank Secrecy Act (BSA) IT Modernization

Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
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NONE



## Section C: Operational Data

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
Average number of hours from receipt to availability for query or dissemination	Hrs	Technology - Efficiency	Over target	120.000000	120.000000	95.520000	91.000000	Monthly
Number of steps to find initial useful information	Steps	Process and Activities - Productivity	Over target	40.000000	40.000000	40.000000	40.000000	Monthly
Decrease number of days to implement changes to BSA data collection tools	days	Mission and Business Results - Support Delivery of Services	Over target	230.000000	230.000000	230.000000	173.000000	Semi-Annual
Increase percent of BSA reports captured electronically	percentage	Technology - Information and Data	Over target	83.000000	83.000000	82.600000	85.000000	Quarterly
Percent of customers who report overall satisfaction with the use of simple query/portal	percentage	Customer Results - Customer Benefit	Over target	74.000000	74.000000	75.000000	77.000000	Semi-Annual